



UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS
UNITED STATES PATENT AND TRADEMARK OFFICE
WASHINGTON, D.C. 20231
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| APPLICATION NUMBER | FILING/RECEIPT DATE | FIRST NAMED APPLICANT | ATTORNEY DOCKET NUMBER |
|--------------------|---------------------|-----------------------|------------------------|
| 09/993,186 | 11/06/2001 | John C. R. Hele | 10942-013001 |

DENIS G. MALONEY
Fish & Richardson P.C.
225 Franklin Street
Boston, MA 02110-2804



CONFIRMATION NO. 7005
FORMALITIES LETTER



OC00000007165998

Date Mailed: 12/06/2001

NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

Filing Date Granted

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The oath or declaration is unsigned.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(l) of \$65 for a small entity in compliance with 37 CFR 1.27, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 65.

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*A copy of this notice **MUST** be returned with the reply.*

L. Lucas

Customer Service Center
Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE



Attorney's Docket No.: 10942-013001

Section #8

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant : John C. R. Hele and Christopher
Serflek
Serial No. : 09/993,186
Filed : November 6, 2001
Title : UNDERWRITING INSURANCE

Art Unit : 2161
Examiner : Unknown

BOX MISSING PARTS

Commissioner for Patents
Washington, D.C. 20231

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RESPONSE TO NOTICE TO FILE MISSING PARTS OF APPLICATION

In response to the Notice to File Missing Parts of Application under 37 U.S.C. §1.53(b) mailed December 6, 2001 (copy enclosed), applicants claim small entity status (see 37 CFR 1.27) and submit herewith the following:

- ☒ A check in the amount of \$65 for late filing surcharge of the declaration; and
- ☒ A Combined Declaration and Power of Attorney in compliance with 37 CFR §1.63.

It is understood that this perfects the application and no additional papers or filing fees are required. Please apply any other charges or credits to Deposit Account No. 06-1050.

Respectfully submitted,

Date: 2/6/02

Denis G. Maloney
Reg. No. 29,670

Fish & Richardson P.C.
225 Franklin Street
Boston, Massachusetts 02110-2804
Telephone: (617) 542-5070
Facsimile: (617) 542-8906

20385304.doc

CERTIFICATE OF MAILING BY FIRST CLASS MAIL

I hereby certify under 37 CFR §1.8(a) that this correspondence is being deposited with the United States Postal Service as first class mail with sufficient postage on the date indicated below and is addressed to the Commissioner for Patents, Washington, D.C. 20231.

February 6, 2002
Date of Deposit

Cassandra Beepot
Signature

Cassandra Beepot
Typed or Printed Name of Person Signing Certificate



2161

Attorney's Docket No.: 10942-013001

Receipt
#4

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant : John C. R. Hele, et al.
Serial No. : 09/993,186
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Art Unit : 2161
Examiner : Unknown

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Washington, D.C. 20231

Technology Center 2100

REQUEST FOR CORRECTED OFFICIAL FILING RECEIPT

Please correct the Filing Receipt for the above-referenced application to change the name of the inventor from **Christopher Serfler** to **Christopher Serflek**.

Please supply a corrected Filing Receipt to the undersigned with respect to this application. A copy of the original Filing Receipt showing the desired changes in red ink is attached for your convenience.

No fee is believed to be due. If, however, there are any charges or credits, please apply them to Deposit Account No. 06-1050, referencing attorney docket number 10942-013001.

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CERTIFICATE OF MAILING BY FIRST CLASS MAIL

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Signature

Cassandra Beepot

Cassandra Beepot

Typed or Printed Name of Person Signing Certificate

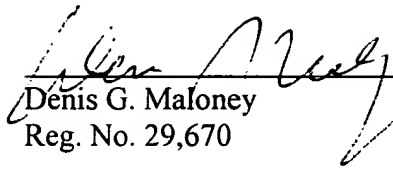
Applicant : John C. R. Hele and Christopher Serflek
Serial No. : 09/993,186
Filed : November 6, 2001
Page : 2

Attorney's Docket No.: 10942-013001

Respectfully submitted,

Date: _____

2/6/02



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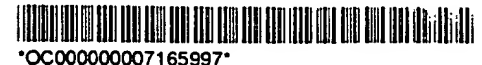
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| APPLICATION NUMBER | FILING DATE | GRP ART UNIT | FIL FEE REC'D | ATTY. DOCKET NO | DRAWINGS | TOT CLAIMS | IND CLAIMS |
|--------------------|-------------|--------------|---------------|-----------------|----------|------------|------------|
| 09/993,186 | 11/06/2001 | 2161 | 676 | 10942-013001 | 13 | 40 | 6 |

CONFIRMATION NO. 7005

FILING RECEIPT



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Fish & Richardson P.C.
225 Franklin Street
Boston, MA 02110-2804

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Date Mailed: 12/06/2001

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

Applicant(s)

John C. R. Hele, Paget, BERMUDA;
Christopher Serfler Paget, BERMUDA;
Serflek

Domestic Priority data as claimed by applicant

THIS APPLN CLAIMS BENEFIT OF 60/246,260 11/06/2000

Foreign Applications

Projected Publication Date: To Be Determined - pending completion of Missing Parts

Non-Publication Request: No

Early Publication Request: No

** SMALL ENTITY **

Title

Underwriting insurance

Preliminary Class

705

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